

State of Arizona Emergency Response and Recover Plan

Basic Plan



Introduction

The State of Arizona, in accordance with Arizona Revised Statutes, Title 26, Chapter 2, Article 1, entitled Emergency Management is required to prepare for, respond to, and recover from emergencies and/or disasters with the primary objectives to save lives and protect public health, property and the environment.

A.R.S. § 26-305. Division of emergency management; duties; director; term; qualifications; compensation; emergency management training fund

- A. The division shall prepare for and coordinate those emergency management activities which may be required to reduce the impact of disaster on persons or property.
- B. Through the powers vested in the governor, the division shall coordinate the cooperative effort of all governmental agencies including the federal government, this state and its political subdivisions to alleviate suffering and loss resulting from disaster.

Incident management has changed dramatically following the terrorist attacks of September 11, 2001 throughout the nation. Arizona's threat environment includes not only the traditional spectrum of manmade and natural hazards – wildland and urban fires, floods, oil spills, hazardous material releases, pandemics, drought, heat emergencies, and disruptions to energy and information technology infrastructure – but also the deadly and devastating terrorist arsenal of chemical, biological, radiological, nuclear, and high-yield explosive weapons (CBRNE).

These complex and emerging threats demand a unified and coordinated approach to incident management. The National Strategy for Homeland Security; Homeland Security Act of 2002; and Homeland Security Presidential Directive-5 (HSPD-5), directs the United States Department of Homeland Security (USDHS) to lead a coordinated national effort with other federal departments and agencies and State, Local and Tribal governments to establish a National Response Framework (NRF)¹ and a National Incident Management System (NIMS)².

HSPD-8 is a companion policy to HSPD 5, and provides guidance and standards, through the federal NIMS Integration Center (NIC), for preparedness activities, including training, exercising, employee certification, credentialing and national resource typing protocols.

The State of Arizona recognizes these policies and utilizes the NIMS as a basis for the Incident Command System (ICS) structure. The NIMS creates a standard incident management system that is scalable and modular, and can be used in incidents of any size or complexity. These functional areas include command/policy, operations, planning, logistics and finance/administration. The State of Arizona Emergency Response and Recovery Plan (SERRP) incorporates the NIMS principles of Area Command (AC) and Unified Command (UC), thus ensuring further coordination for incidents involving multiple jurisdictions or agencies at any level of government; up to, and including catastrophic events.

¹ The NRF – A concerted national effort to prevent terrorist attacks within the United States; reduce America's vulnerability to terrorism, major disasters, and other emergencies; and minimize the damage and recover from attacks, major disasters, and other emergencies that occur.

² The NIMS – Provides a nationwide template enabling Federal, State, Local, and Tribal governments, private sector, and nongovernmental organizations to work together effectively and efficiently to prevent, prepare for, respond to, and recover from domestic incidents regardless of cause, size or complexity.

Introduction – Continued

The SERRP, focusing on NIMS concepts and principles, addresses the consequences of any incident in which there is a need for state resources in providing activities associated with prevention, preparedness, response, and/or recovery assistance. It is applicable to all perceived natural and human-caused emergencies/disasters requiring state assistance, guidance and/or recovery funding.

Certain ESF Annexes will contain one or more Appendices. The Appendix is utilized in the SERRP as a means for further defining and/or amplifying the ESF missions, roles, responsibilities, etc. associated with specific activities of the parent. An Appendix generally will contain all the attributes of an ESF, and may be activated in conjunction with the parent ESF or as an independent support function as the incident may direct.

The SERRP describes the methodology the state will use to mobilize its resources in supporting response and recovery activities. The plan uses a functional approach to group the types of assistance through fifteen (15) Emergency Support Functions (ESF), seven Support Annexes and six Incident Annexes based on a structure similar to one offered by the NRF³. Each ESF (and applicable Appendices) is led by one or more primary agencies, which have been selected based on their authorities, resources and capabilities to support the respective functional areas (See page BP-7 for more ESF information).

The ESF/Appendix structure serves as the primary mechanism through which state emergency response and recovery assistance will be provided, under the auspices of the State Coordinating Officer (SCO), currently designated as the ADEM Director of the Arizona Division of Emergency Management, which fall under the Arizona Department of Emergency and Military Affairs (DEMA). More information on SERRP annexes can be found under “SERRP Organization” heading beginning on page BP-6.

The SERRP also serves as the foundation for the development of detailed respective state department/agency and county plans/procedures designed to implement response activities in a timely and efficient manner. It may also be used as a model in the development and maintenance of local and county Emergency Operations Plans (EOP)⁴.

The SERRP complements and incorporates relevant portions of the NRF, State and Local Guide for All-Hazard Emergency Operations Planning (SLG101), State NIMS Integration, and the Emergency Management Accreditation Program (EMAP) Standards, to provide a core operational plan for incident management of any State-declared emergency/disaster or response to a request from an overwhelmed jurisdiction. The plan establishes and describes state-level coordinating structures, processes, and protocols that will be incorporated into certain State-level interagency incident- or hazard-specific plans. These plans are linked to the SERRP in the context of managing state incidents and Presidential-declared emergencies/disasters.

SERRP ESFs and Appendices also remain intact as stand-alone documents in that they provide detailed protocols for responding to routine incidents without the need for statewide assistance. The SERRP also incorporates existing department/agency emergency operations and/or tactical plans as integrated components including but not limited to:

- The State of Arizona Emergency Operations Center (SEOC) Standard Operating Procedures (SOP)
- The State of Arizona All-Hazards Mitigation Plan (AZHMP)
- The Department of Emergency and Military Affairs (DEMA) Business Continuity Plan
- The Offsite Emergency Response Plan For Palo Verde Nuclear Generating Station (PVNGS)
- The State of Arizona Emergency Communications Plan
- The State of Arizona Resource Management Plan

³ See Supplement 1 for SERRP vs NRF ESF Annex/Appendices comparisons.

⁴ A.R.S. § 26-308(D) - State emergency plans shall be in effect in each such political subdivision of the state. The governing body of each such political subdivision shall take such action as is necessary to carry out the provisions thereof, including the development of additional emergency plans for the political subdivision in support of the state emergency plans.

Introduction – Continued

Purpose

The purpose of the SERRP is to establish a comprehensive, statewide, all-hazards approach to providing consistent incident management and effective, efficient coordination across a spectrum of activities including prevention, preparedness, response, recovery and mitigation. Planning must now include, within available resources, strong considerations for low probability, high consequence events which were heretofore not addressed in this nation to any great extent

Catastrophic disaster response/recovery planning now requires, in essence, the same attention and detailed planning that in times past would only have been paid to the high probability/high consequence and medium probability/medium consequence events that faced a jurisdiction.

This plan recognizes the realities and limiting factors in the development of such plans and planners strive to prioritize accomplishment of required plan enhancements.

- The SERRP provides the framework for State departments/agencies interaction with Federal, county, and tribal governments; the private sector; and non-governmental organizations (NGO) in the context of incident prevention, preparedness, response, and recovery activities.
- It describes capabilities and resources and establishes responsibilities, operational processes, and protocols to:
 - Help protect the State from terrorist attacks and other natural and human-caused hazards;
 - Save lives; protect public health, safety, property, and the environment; and,
 - Reduce adverse psychological consequences and disruptions.

Scope

The SERRP establishes interagency and multi-jurisdictional mechanisms for State Government involvement in, and SEOC coordination of, incident response and recovery operations.

Statewide emergencies/disasters, and catastrophic incidents typically result in impacts far beyond the immediate or initial incident area; the SERRP and the NRF provide a framework to enable the management of cascading impacts and multiple incidents as well as the prevention of and preparation for subsequent events. Examples of incident management actions from a State perspective include but are not limited to:

- Increasing statewide public awareness;
- Assessing trends, with Federal authorities, that point to potential terrorist activity;
- Coordinating protective measures across jurisdictions;
- Conducting public health surveillance and assessment processes and, where appropriate, conducting a wide range of prevention measures.
- Providing immediate and long-term public health and medical response assets;
- Coordinating Federal support to county, local, and tribal authorities in the aftermath of an incident;
- Providing strategies for coordination of State and Federal resources required to handle subsequent events;
- Restoring public confidence after a terrorist attack; and
- Enabling immediate recovery activities, as well as addressing long-term consequences in the impacted area.

Introduction – Continued

Scope - Continued

The SERRP intends to cover the full range of complex and constantly changing requirements in anticipation of, or in response to, threats or other acts of terrorism, major disasters, catastrophic events, and other emergencies that may exhaust impacted county and/or tribal and any respective mutual aid resources.

The SERRP, using the NIMS, establishes mechanisms to:

- Provide the basis to initiate State and/or Federal response, recovery, mitigation, and public/individual assistance activities
- Maximize the integration of incident-related prevention, preparedness, response, and recovery activities;
- Improve statewide coordination and integration of Federal, county, tribal, regional, private-sector, and nongovernmental organization partners;
- Maximize efficient utilization of resources needed for effective incident management;
- Improve incident management communications and increase situational awareness across jurisdictions and between the public and private sectors;
- Facilitate State emergency mutual aid and assistance, and Federal emergency support to overwhelmed county and tribal governments;
- Provide a proactive and integrated Federal and Emergency Management Assistance Compact (EMAC) response to catastrophic events;
- Address linkages to other State department/agency incident management and emergency response plans developed for specific types of incidents or hazards;
- Provide a fundamental document to test the States' disaster preparedness capabilities and the effectiveness;
- Describe state/federal/private programs for individual and public disaster assistance;
- Describe the purpose of the Disaster Prevention Council;
- Facilitate State agency to State Agency emergency support, State-to-State support and/or State-to-Federal coordination; and
- Provide public and private-sector incident management integration or coordination.

This plan distinguishes between incidents that

- Require DEMA coordination (overwhelmed county or State-declared disaster),
- Little or no warning catastrophic events that require expedited response activities,
- An incident involving the Palo Verde Nuclear Generating Station (PVNGS), and
- The majority of incidents that are handled by responsible jurisdictions and/or agencies through other established local authorities and existing plans.

In addition the SERRP recognizes and incorporates the various jurisdictional and functional incident management authorities of:

- State departments, divisions and agencies;
- County, local and tribal governments; and
- Private-sector, voluntary and other non-governmental organizations (NGOs).

Introduction – Continued

Scope - Continued

The SERRP also establishes the multi-agency organizational structures and processes required to implement the authorities, roles, and responsibilities of the ADEM Director, DEMA, as the State Coordinating Officer (SCO) for statewide incident management.

Finally, the SERRP serves as the foundation for the development of detailed supplemental plans and procedures to effectively and efficiently implement state incident management activities and assistance.

Applicability

The SERRP is applicable to all State departments and agencies that may be tasked to provide assistance in the form of human and/or equipment resources, or to conduct operations in the context of actual or potential State-declared disasters or emergencies. These incidents may require a coordinated response by an appropriate combination of State, county, local, tribal, private-sector, NGO and Federal entities.

The mission of the SERRP applies to:

- Any state department or agency which may:
 - Be tasked to provide response and recovery assistance; or,
 - Require emergency assistance to perform critical missions and services as directed by law.
- Any of the 15 identified political subdivisions (county governments and unincorporated community therein) within the state requiring, or in a position to provide, assistance.
- A local government (any incorporated community and special district) with available resources which may be brought to bear in satisfying SERRP missions.
- Any of the 22 federally recognized tribal nations located within the State of Arizona who formally request State or county emergency assistance.
- NGOs including the American Red Cross (ARC), The Salvation Army (TSA), Arizona Voluntary Organizations Active in Disasters (AZVOAD) and other voluntary organizations which function as primary or critical ESF support organizations in the SERRP.
- Private-sector organizations including the Business Operations Center, Arizona Public Service (APS/PVNGS), Salt River Project (SRP), Central Arizona Project (CAP) and other critical infrastructure/key resource (CI/KR) requiring or capable of providing emergency response assistance.

Introduction – Continued

SERRP Organization

The State of Arizona Emergency Response and Recovery Plan (SERRP) consists of the components listed below:

FIGURE 1 – SERRP Composition

<p>Basic Plan</p>	<ul style="list-style-type: none"> • A base plan that describes the overarching structure and processes comprising a statewide approach to incident management designed to integrate the efforts and resources of State, local, tribal, private-sector, nongovernmental organizations and if necessary Federal government. • The Basic Plan includes planning assumptions, roles and responsibilities, concept of operations, incident management actions, and plan maintenance instructions.
<p>Emergency Support Functions (ESF) Annexes</p>	<ul style="list-style-type: none"> • Details the missions, policies, structures, and responsibilities of State agencies for coordinating resource and programmatic support to counties, tribes, and other State agencies or other jurisdictions and entities during incidents of statewide significance. • These ESF Annexes are typically augmented by a variety of supporting appendices, plans and operational attachments or supplements. • The introduction to the ESF Annexes summarizes the functions of ESF coordinators and primary and support agencies. Figure 2 on page 8 provides a summary of the scope of each ESF.
<p>Incident Annexes</p>	<ul style="list-style-type: none"> • Address contingency or hazard situations requiring specialized application of the SERRP. • Describe the missions, policies, responsibilities, and coordination processes that govern the interaction of public and private entities engaged in incident management and emergency response operations across a spectrum of potential hazards. • These Annexes are also augmented by a variety of supporting appendices, plans and operational attachments or supplements. See Figure 4 on Page 10.
<p>Support Annexes</p>	<ul style="list-style-type: none"> • Provide guidance and describe the functional processes and administrative requirements necessary to ensure efficient and effective implementation of SERRP incident management objectives. See Figure 3 on page 9.
<p>General Information</p>	<ul style="list-style-type: none"> • Acronyms, definitions, authorities and references.

The development of all Emergency Support Functions, Incident Annexes and their respective Appendices in this plan focuses primarily on the State response activities, stakeholder roles and responsibilities, and resource capabilities associated with the hazards (natural and human-caused) most likely to overwhelm any political subdivision. The political subdivision’s identified hazard identification/risk analysis and vulnerability assessments are listed in the State of Arizona All-hazards Mitigation Plan and may be located in the local jurisdiction’s multi-hazard mitigation plan.

Introduction – Continued

Typical Annex Structure

Most functional Annexes and their respective Appendices will include the following major components as guidance in attaining mission objectives:

- **Introduction** – general statements that provide information on the specific Annex or Appendix and may include a statement(s) of purpose, scope and applicability, authorities, and policies.
- **Planning Assumptions** – statements that may bear impact on the fulfillment of Annex/Appendix objectives.
- **Concept of Operations** – a chronological identification of anticipated responses or actions associated with meeting the mission of the Annex or Appendix.
- **Roles and Responsibilities** – a listing of expected actions of the various primary and support agencies (stakeholders) assigned response tasks in achieving Annex/Appendix goals.
- **Plan Administration and Maintenance** – documents agencies responsible for the development, administration and/or ongoing maintenance of Annexes/Appendix and this Basic Plan.

Emergency Support Function (ESF)

Similar to the National Response Framework (NRF), the SERRP applies a functional approach that groups the capabilities of State departments and agencies, the American Red Cross, The Salvation Army and other NGOs, including the private sector into Emergency Support Functions (ESFs) categories that are most likely to be needed during incidents of statewide significance. ESFs:

- Provide for the planning, support, resources, program implementation, and emergency services associated with an incident.
- Full or partial activation, as deemed necessary by the severity and complexity of the incident, typically identify the State response actions.
- Serve as the coordination mechanism to provide assistance to overwhelmed county, local, and tribal governments or to State departments and agencies conducting missions of primary State responsibility.
- May be selectively activated for both Stafford Act and non-Stafford Act incidents where State departments or agencies request Department of Emergency & Military Affairs (DEMA) coordination assistance or under other appropriate circumstances as defined in A.R.S. § 26-311 (D).
- Provide staffing for the State Emergency Operations Center (SEOC), Incident Command Post (ICP), County Emergency Operations Center (CEOC), Recovery Office (RO), Joint Field Office (JFO), Disaster Recovery Center (DRC), Individual Assistance Service Center (IASC), and Joint Information Center (JIC) as required by the situation at hand.
- Are composed of primary and support agencies.
 - The SERRP identifies primary agencies on the basis of authorities, resources, and capabilities to support the respective functional areas.
 - Support agencies are assigned based on resources and capabilities in a given functional area.
- Resources that are provided reflect the resource-typing categories identified in the NIMS.
- Are expected to support one another in carrying out their respective roles and responsibilities.

Additional discussion on roles and responsibilities of ESF coordinators, primary agencies, and support agencies can be found in the introduction to the ESF Annexes.

Basic Plan

Introduction – Continued

FIGURE 2 – Emergency Support Function Scope

ESF	Title	Scope
ESF # 1	Transportation and Infrastructure	<ul style="list-style-type: none"> • State and civil transportation support • Transportation safety • Restoration/recovery of transportation infrastructure • Movement restrictions • Damage and impact assessment
ESF # 2	Communications	<ul style="list-style-type: none"> • Emergency video and telecommunications • Restoration/repair of telecommunications infrastructure • Protection, restoration, and sustainment of state cyber and information technology resources • Statewide alert and warning mechanisms and procedures
ESF # 3	Public Works and Engineering	<ul style="list-style-type: none"> • Infrastructure protection and emergency repair • Infrastructure restoration • Engineering services, construction management • Critical infrastructure liaison
ESF # 4	Fire Service	<ul style="list-style-type: none"> • Resource support to rural and urban firefighting operations • Resource support to wild land fire operations
ESF # 5	Emergency Management	<ul style="list-style-type: none"> • Coordination of incident management efforts • SEOC basic operations • Issuance of mission assignments • Identification of resource and human assets • Incident action planning
ESF # 6	Mass Care, Housing and Human Services	<ul style="list-style-type: none"> • Mass care including persons w/ special emergency needs and animal protection • Disaster housing • Human services • Shelter management guidelines
ESF # 7	Resource Support	<ul style="list-style-type: none"> • Resource support (facility space, office equipment and supplies, contracting services, etc)
ESF # 8	Health and Medical Services	<ul style="list-style-type: none"> • Public health • Medical support activities • Mental health services • Mortuary services
ESF # 9	Urban Search and Rescue	<ul style="list-style-type: none"> • Life-saving assistance • Urban search and rescue
ESF # 10	Oil and Hazardous Material Response	<ul style="list-style-type: none"> • Oil and hazardous materials (chemical, biological, radiological, etc.) response • Environmental safety and short- and long-term cleanup
ESF # 11	Agriculture and Natural Resources	<ul style="list-style-type: none"> • Food distribution • Animal and plant disease/pest response • Food safety and security • Natural and cultural resources and historic properties protection and restoration
ESF # 12	Energy	<ul style="list-style-type: none"> • Energy infrastructure assessment, repair, and restoration • Energy industry utilities coordination • Energy forecast
ESF # 13	Public Safety and Security	<ul style="list-style-type: none"> • Facility and resource security • Security planning and technical and resource assistance • Public safety/security support • Support to access, traffic, and crowd control
ESF # 14	Recovery and Mitigation	<ul style="list-style-type: none"> • Social and economic community impact assessment • Community recovery assistance to the county/local governments, and the private sector, individual and families • Mitigation analysis and program implementation
ESF # 15	External Affairs	<ul style="list-style-type: none"> • Emergency public information and protective action guidance • Media and community relations • Congressional and international affairs

Introduction – Continued

Support Annex

The **Support Annexes** provide guidance and describe the functional processes and administrative requirements necessary to ensure efficient and effective implementation of SERRP incident management objectives. The Support Annexes are described below in Figure 3.

Figure 3 – Support Annexes

Donations Management	<ul style="list-style-type: none"> • Provides guidance on donations management functions related to statewide incidents.
Financial Management	<ul style="list-style-type: none"> • Provides guidance for SERRP implementation to ensure that incident-related funds are provided expeditiously and that financial management activities are conducted in accordance with established law, policies, regulations, and standards.
Logistics Management	<ul style="list-style-type: none"> • Describes the framework within which the overall SERRP logistics management function operates. • Outlines logistics management responsibilities and mechanisms for integrating Federal, State, local, and tribal resource providers.
Occupational Safety and Health	<ul style="list-style-type: none"> • Details processes to ensure coordinated, comprehensive efforts to identify responder safety and health risks and implement procedures to minimize or eliminate illness or injuries during incident management and emergency response activities.
Private-Sector Coordination	<ul style="list-style-type: none"> • Outlines processes to ensure effective incident management coordination and integration with the private sector, including representatives of the Nation’s Critical Infrastructure/Key Resources (CI/KR) sectors and other industries.
Tribal Relations	<ul style="list-style-type: none"> • Describes the policies, responsibilities, and concept of operations for effective coordination and interaction with tribal governments and communities upon request for State support.
Volunteer Management	<ul style="list-style-type: none"> • Provides guidance on spontaneous unaffiliated volunteer management and Citizens Corps activation functions related to statewide incidents.

Introduction – Continued

Incident Annex

The **Incident Annexes** address contingency or hazard specific incident management and emergency response situations requiring specialized application of the SERRP. The Incident Annexes describe the missions, policies, operations across a spectrum of potential hazards. The annexes are typically augmented by a variety of responsibilities, and coordination processes that govern supporting plans and operational supplements.

Figure 4 – Incident Annexes

Biological Incident Annex	<ul style="list-style-type: none"> • Describes incident management activities related to a biological terrorism event, pandemic, emerging infectious disease, or novel pathogen outbreak.
Catastrophic Incident Annex	<ul style="list-style-type: none"> • Establishes the strategy for implementing and coordinating an accelerated statewide and national response to a catastrophic incident during the initial 72 to 96 hours.
Cyber Incident Annex	<ul style="list-style-type: none"> • Establishes procedures for a multidisciplinary, broad-based approach to prepare for, remediate, and recover from catastrophic cyber events impacting critical State processes and the State’s economy.
Drought Incident	<ul style="list-style-type: none"> • Identifies organizations for statewide drought assessment, response, and recovery actions.
Nuclear/Radiological Incident Annex	<ul style="list-style-type: none"> • Describes incident management activities related to nuclear/radiological incidents.
Terrorism Incident Law Enforcement and Investigation Annex	<ul style="list-style-type: none"> • Describes law enforcement and Federal criminal investigation coordinating structures and processes in response to a terrorist event.

Authorities

Various State and Federal statutory authorities and policies provide the basis for State actions and activities in the context of incident management.

- Nothing in this plan alters or impedes the ability of the Federal government, State agencies, local or tribal departments and agencies to carry out their specific authorities or to perform their responsibilities under all applicable laws, Executive Orders, and/or directives.
- Additionally, nothing in this plan is intended to impact or impede the ability of any State, local tribal department or agency head to take an issue of concern directly to the Governor of Arizona, the Adjutant General of the Department of Emergency and Military Affairs, the Director of the Arizona Department of Homeland Security, the Director of the Arizona Division of Emergency Management, or any member of the Governor’s staff.

Introduction – Continued

Authorities - continued

Under A.R.S. § 26-303, the Governor maintains the authority to direct any state agency to utilize its authorities and resources. Pursuant to this statute, the SERRP assumes the following:

- Response by state agencies to lifesaving and life protecting requirements under this plan has precedence over other state response activities, except where national security implications are determined to be of a higher priority.
- Support from agencies will be provided to the extent that it does not conflict with other emergency missions that an agency is required to perform.

This SERRP also addresses the Governor's Emergency Fund, and Federal recovery and mitigation assistance programs as defined by the Robert T. Stafford Disaster Relief and Emergency Assistance Act (Stafford Act) – Public Law 93- 288.

- Administration of state and federal disaster assistance will be in accordance with:
 - A.R.S. § 26-301 through 319
 - A.R.S. §35-192
 - A.A.C. R8-2-101 through 605
 - Executive Order No. 79-4
 - OMB Circular A-87
 - 44 Code of Federal Register (CFR) – Emergency Management and Assistance
 - Post-Katrina Emergency Management Reform Act of 2006-10-03, Title VIII – National Emergency Management (HR5441)
 - State of Arizona Individual and Households Program Administrative Plan
 - State of Arizona Administrative Plan for Public Assistance
 - The State of Arizona Individual and Households Program Administrative Plan
 - State of Arizona Administrative Plan for Public Assistance
 - The Arizona Division of Emergency Management, Disaster Recovery Guidebook
 - The Hazard Mitigation Grant Program (HMGP) - Section 404 of the Stafford Act, 44 CFR Part 206, Subpart N
 - Disaster Mitigation Act of 2000, Section 322
 - Flood Mitigation Assistance (FMA) Program - National Flood Insurance Reform Act (NFIRA) of 1994 (42 U.S.C. 4101)
 - Pre-Disaster Mitigation(PDM) – Section 203 of the Stafford Act, 42 USC, as amended by §102 of the Disaster Mitigation Act of 2000
 - All Federal laws, statutes and regulations for disaster assistance.

Introduction – Continued

Authorities - Continued

An emergency/disaster may result in a situation that affects the national security of the United States.

- For those instances, appropriate U.S. Department of Homeland Security authorities and procedures will be utilized to address national security and response requirements.
- Any act or suspected act of terrorism utilizing weapons of mass destruction (WMD) will require coordination with U.S. Department of Homeland Security agencies and the Federal Bureau of Investigation (FBI).

This plan does not supplant the existing authority for the state Nuclear Emergency Plan as outlined in A.R.S. § 26-305.01, the Offsite Emergency Response Plan for Palo Verde Nuclear Generating Station, and the Nuclear Power Radiological Emergency Preparedness Appendix to the Nuclear/Radiological Incident Annex.

The SERRP may be used in conjunction with other State incident management and emergency operations plans developed under these or other authorities as well as memorandums of understanding (MOUs) among various State departments and agencies, political subdivisions, and municipalities.

Policies

This section summarizes policies and key concepts that are reflected throughout the SERRP including:

- Systematic and coordinated incident management, including protocols for:
 - Incident reporting;
 - Timely response action;
 - Alert and notification;
 - Mobilization of State resources to augment existing Federal, State, county, tribal and certain local capabilities;
 - Operating under differing threats or threat levels; and,
 - Integration of crisis and consequence management functions.
- Proactive notification and deployment of State and Federal resources in anticipation of, or in response to, catastrophic events in coordination and collaboration with other State departments and agencies, county, local, and tribal governments and private entities when and where possible.
- Activating specific components of the plan to facilitate the delivery of critical State and Federal resources, assets, and assistance.
- Organizing interagency efforts to minimize damage, restore impacted areas to pre-incident conditions if feasible, and/or implement programs to mitigate vulnerability to future events.
- Coordinating incident communication, worker safety and health, private-sector involvement, and other activities that are common to the majority of incidents (see Support Annexes Page BP-9).

Introduction – Continued

Policies - Continued

- Facilitating State support to State departments and agencies acting under the requesting department'(s) or agency's own authorities.
- Providing mechanisms for vertical and horizontal coordination, communications, and information-sharing in response to threats or incidents. These mechanisms facilitate coordination among State, county, and tribal entities and the Federal Government, as well as between the public and private sectors.
- Developing detailed supplemental operations, tactical, and hazard-specific contingency plans and procedures.

Assignments

The SERRP provides standing mission assignments to designated agencies with primary and support responsibilities listed within each ESF, Incident Annex and/or associated Appendix. State agencies designated as primary agencies serve under the auspices of the State Coordinating Officer (SCO) in accomplishing the ESF or Incident Annex missions.

Resource Coordination

Upon activation of an ESF, a primary agency is authorized in coordination with the SCO to initiate and continue actions to carry out the ESF missions. This may include tasking of designated support agencies to carry out assigned ESF missions.

Each ESF Primary Agency and tasked support agency will provide resources using its authorities and capabilities. ESF agencies will allocate available resources based on identified priorities as requested and as available.

- If resources are not available within local/county government, the ESF Primary Agency will seek to provide them from another primary or support agency.
- If the resource is unavailable from an ESF Primary Agency or tasked support agency, the requirement will be forwarded to the SEOC Logistics Section for further action.
- If a conflict of priorities develops as a result of more than one agency needing the same resource, the affected agencies will work directly with the SCO toward achieving resolution.
- If the SCO cannot resolve the conflict, the matter will be referred to the State Emergency Council (*See page BP-30 for additional State Emergency Council information*) for final resolution.
- Conflict resolution may be imposed by the Governor at any time.
- The SEOC will serve as a central information source regarding availability and disposition of State and/or Federal resources.

Response Requirements

State assistance provided under A.R.S. § 26-303 and 35-192 supplements local/county and possible tribal government response efforts upon request.

The Emergency Support Function Primary Agency will coordinate with the SCO and the affected local/county government to identify specific response/recovery requirements and will provide state resource assistance based on identified priorities.

Introduction – Continued

Multi-County Incident(s)

One or more emergencies/disasters may affect a number of counties and communities concurrently. In those instances, state government will:

- Upon request, provide technical assistance for response and/or recovery operations for each impacted/declared county.
- Identify a State liaison for each impacted /declared county to coordinate communications between the county and the SEOC.
- Under multiple county declarations, ESF agencies will be required to coordinate the provision of resources to support the operations of all of the declared counties through the SEOC.
- Provide representation to Incident Command Post(s) where critical or expedited State assistance precludes normal response activities or upon request.

Recovery Operations

The SCO is responsible for coordinating recovery activities. Recovery operations will be initiated based on the availability of resources that do not conflict with response operations.

Certain recovery activities may commence concurrent with response operations.

Additional information regarding recovery and mitigation activities is available in both ESF #6 (Mass Care, Housing and Human Services Annex) and ESF #14 (Recovery and Mitigation Annex).

Operating Facilities

In addition to the local-oriented and managed Incident Command Post (ICP), multiple State and Federal operating facilities may be activated to facilitate the movement and utilization of personnel and resources within the state.

- Single support facilities, (e.g., casualty collection points), are used primarily to support the operations of a single ESF or incident-specific Annex.
- Multiple support facilities used to support the operations of several ESF and/or Incident Annexes including the following:
 - **State Emergency Operations Center (SEOC)** utilizes a NIMS endorsed Multi-Agency Coordinating System (MACS) and is maintained and operated by DEMA to coordinate state response and support.
 - ◆ The SEOC is staffed with DEMA personnel and representatives from the activated ESF(s) primary and/or support agencies as dictated by the incident.
 - ◆ It serves as the initial point-of-contact for affected county governments, state response support agencies, public inquiry, and the media regarding State response activities.
 - ◆ In the event the SEOC becomes inoperable or uninhabitable, an alternate SEOC may be established at the Arizona State University Williams Gateway Complex.
 - **Staging Area (SA)** is the facility at the local or tribal level near the emergency/disaster site where personnel and equipment are assembled for immediate deployment to an operational site. Responsibility for designation and operation of the SA belongs to the local or tribal government.

Introduction – Continued

Operating Facilities- Continued

- **Base Camp (BC)** is a designated location under local, tribal or state control within the disaster area. It is equipped and staffed to provide sleeping facilities, food, water and sanitary services to response personnel. Under most circumstances local or tribal governments will organize and provide the BC.
- **Recovery Office (RO)** is a fixed facility in Phoenix, established by the State to provide impacted county and local jurisdictions with public and individual recovery assistance.
- **Joint Field Office (JFO)** is the primary location for the coordination of state/federal response and recovery operations during Presidential-declared disasters. It houses the Federal Coordinating Officer (FCO) and staff comprising the Emergency Response Team (ERT).
 - ◆ It will operate with a schedule sufficient to sustain the state and federal operations.
 - ◆ Except where facilities do not permit, the FCO will be co-located with the SCO at the JFO.
 - ◆ The JFO will be a leased/rented facility within reasonable proximity to DEMA. The Federal Advance Emergency Response Team (AERT) will assume the responsibility for procurement/equipage of the JFO.
- **Disaster Recovery Center (DRC)** is the primary location within an impacted community for federal/state/local and non-governmental recovery assistance to individuals and families affected by a federally declared event.
- **Individual Assistance Service Center (IASC)** is the State equivalent of a DRC providing government services
- **Joint Information Center (JIC)** is a fixed facility in Phoenix. A JIC may be established near an incident area. A JIC serves as a focal point for the coordination and dissemination of information to the public and media concerning incident prevention, preparedness, response, recovery, and mitigation.
 - ◆ The JIC develops, coordinates, and disseminates unified news releases. News releases are cleared through the coordination of impacted jurisdictional and response organization Public Information Officers (PIO) to ensure:
 - * Consistent, accurate, one voice messages;
 - * Avoiding the release of conflicting information; and,
 - * The prevention of any negative impacts on emergency operations.
 - ◆ This formal approval process for news releases ensures protection of law enforcement sensitive information.
 - ◆ Agencies may issue their own news releases related to their policies, procedures, programs, and capabilities; however, these should be coordinated with the JIC.

Introduction – Continued

Donations

State government encourages financial contributions to private nonprofit voluntary organizations involved in disaster relief, rather than the specific donation of clothing, food and other goods.

- Should goods or services be offered, the state will coordinate the transportation and distribution of only those donations it accepts for use (See Donations Management and Spontaneous Volunteer Annex for additional information).
- The Emergency Response Fund, established under A.R.S. § 26-352, may accept donations to support hazardous materials emergency management activities. Contributions may be made through DEMA - AZSERC {A.R.S.} § 26-343(G).

Non-liability

- Under A.R.S. § 26-314 the state and its political subdivisions will not be liable for any claim based upon the exercise or performance, or the failure to exercise or perform, a discretionary function or duty on the part of the state or its political subdivisions or any employee of this state or its political subdivisions, excepting willful misconduct, gross negligence or bad faith of any such employee. This statute also covers volunteers and employees of another state rendering aid in this state.
- Under A.R.S. § 26-353 a licensed, certified or authorized emergency responder and its employees at the scene of an emergency, when the emergency response is provided in good faith, have the immunities provided in A.R.S. § 26-314 in carrying out the provisions of this article. The immunities provided in A.R.S. § 26-314, also apply to governmental entities, multi-jurisdictional planning organizations that encompass each district, members of each local emergency planning committee and their support personnel in carrying out the provisions of this article.

Mutual Aid

A.R.S. § 26-309 establishes the following provisions for mutual aid:

- Facilitates the rendering of aid to persons or property in areas within the state stricken by an emergency and to make unnecessary the execution of written agreements in times of emergency. Any emergency plans duly adopted and approved satisfy the requirement for mutual aid agreements.
- During an emergency, if the need arises for outside aid in any county, city or town, such aid may be rendered in accordance with approved emergency plans.
- The Governor may, on behalf of this state, enter into reciprocal aid agreements or compacts, mutual aid plans or other interstate arrangements for the protection of life and property with other states and the federal government. Such mutual aid arrangements may include the furnishing of supplies, equipment, facilities, personnel and services.
- Arizona is signatory to the Southwestern Interstate Compact which is a mutual aid compact among the following states:
 - Arizona
 - New Mexico
 - Nevada
 - Colorado
 - Utah

Introduction – Continued

Mutual Aid - Continued

- DEMA sponsors the County Master Mutual Aid Agreement (MAA), an agreement which all political subdivisions have subscribed.
- Arizona is signatory to the national Emergency Management Assistance Compact (EMAC) and will respond in accordance with the directives outlined in A.R.S. § 26-402.
- MAA's or MOU's from local jurisdictions and neighboring Mexican "sister" cities along the Arizona border to satisfy emergency assistance needs in the event of a catastrophic incident are encouraged.
- Letter of Agreement with tribal nations.

Financial Management

Under A.R.S. § 35-192:

- Paragraph A. The Governor may declare an emergency arising from such major disasters as provided in this section and incur liabilities therefore, regardless of whether or not the legislature is in session.
- Paragraph F. All liabilities incurred under the provisions of this section will be subject to the following limitations:
 - Paragraph F.1. *No liability will be incurred against the monies authorized without the approval of the Governor or the Adjutant General of the Department of Emergency and Military Affairs pursuant to section A.R.S. § 26-303, subsection H, for each contingency or emergency.*
 - Paragraph F.2. *Incurring of liabilities in excess of two hundred thousand dollars in any single disaster or emergency will not be made without consent of a majority of the members of the State Emergency Council (See page BP-30 for additional State Emergency Council information).*
 - Paragraph F.3. *The aggregate amount of all liabilities incurred under the provisions of this section will not exceed four million dollars for any fiscal year beginning July 1 through June 30. Monies authorized for disaster and emergencies in prior fiscal years may be used in subsequent fiscal years only for the disaster or emergency for which they were authorized. Monies authorized for disasters and emergencies in prior fiscal years, and expended in subsequent fiscal years for the disaster or emergency for which they were authorized, apply toward the four million dollar liability limit for the fiscal year in which they were authorized.*
- Paragraph H.2. of A.R.S. § 26-303, authorizes *the Adjutant General of the Department of Emergency and Military Affairs, with authorization by the Governor, to incur obligations of up to twenty thousand dollars for each emergency or disaster contingency. Claims are payable as though a state of emergency had been proclaimed.*

Further information regarding financial management is available in the Financial Management Annex to this plan.

Introduction – Continued

Public Affairs

Public Affairs activities will be undertaken to ensure the coordinated, timely and accurate release of a wide range of information to the news media and to the public about emergencies and other disaster related activities. These activities may be:

- Carried out from the SEOC or from the Joint Information Center (JIC) if established, utilizing a NIMS-defined Joint Information System (JIS).
- May be staffed with Federal, State, county, tribal and certain local, and voluntary organizations and private sector public information representatives.

Information intended for the news media and the public will be coordinated prior to release with all JIC agencies.

Further information regarding emergency public information is available in ESF 2, Communications and ESF 15, External Affairs.

After Action Reports

Following state response to an emergency/disaster:

- DEMA will coordinate the preparation of an after-action report documenting the state response effort.
- Within seven workdays upon request from DEMA, each state agency involved in the response effort will provide DEMA with an after-action report outlining that agency's involvement in the disaster.
- DEMA may submit a copy of the completed After-Action Report for all major incidents to the U.S. Department of Homeland Security Lessons Learned and Information Sharing (LLIS) system as an available resource to identify best practices and lessons learned.

Planning Assumptions

The SERRP is based on the following planning assumptions and considerations as presented in this section.

- Incidents are typically managed at the lowest possible geographic, organizational, and jurisdictional level.
- Incident management activities will be initiated and conducted using the ICS principles contained in the NIMS.
- The combined expertise and capabilities of State government at all levels, the private-sector, and NGOs may be requested to assist overwhelmed county(s) and tribal nation(s) in preventing, preparing for, responding to, and recovering from disastrous incidents.
- Incidents may:
 - Require activation of the State Emergency Operations Center (SEOC) to coordinate operations and/or resources.
 - Occur at any time with little or no warning in the context of a general or specific threat or hazard.
 - Require significant information-sharing at the unclassified and classified levels across multiple jurisdictions and between the public and private sectors.

Planning Assumptions - Continued

- Involve single or multiple geographic areas simultaneously.
- Have significant international impact and/ or require significant international information- sharing, resource coordination, and/or assistance.
- Span the spectrum of incident management to include prevention, preparedness, response, and recovery.
- Involve multiple, highly varied hazards or threats on a local, regional, or national scale.
- Result in numerous casualties; fatalities; displaced people; property loss; disruption of normal life-support systems, essential public services, basic infrastructure (banking, utilities); and significant damage to the environment.
- Impact critical infrastructures across sectors.
- Immediately or rapidly overwhelm capabilities of county, local, and tribal governments, and private-sector infrastructure owners and operators.
- Attract a sizeable influx of independent, spontaneous volunteers and supplies.
- Require prolonged, sustained incident management operations and support activities.
- Require long-term recovery, individual and family assistance activities.

Top priorities for incident management are to:

- Save lives and protect the health and safety of the public, responders, and recovery workers;
- Ensure security of the jurisdiction;
- Prevent an imminent incident, including acts of terrorism, from occurring;
- Protect and restore critical infrastructure and key resources;
- Conduct law enforcement investigations to resolve the incident, apprehend the perpetrators, and collect and preserve evidence for prosecution and/ or attribution;
- Protect property and mitigate damages and impacts to individuals, communities, and the environment; and
- Facilitate recovery of individuals, families, businesses, governments, and the environment.
- Deployment of resources and incident management actions during an actual or potential terrorist incident are conducted in coordination with the U.S. Departments of State and Homeland Security.
- Departments and agencies at all levels of government and certain NGOs, such as the American Red Cross, may be required to deploy to state-declared disasters on short notice to provide timely and effective mutual aid and/or intergovernmental assistance.
- The degree of State involvement in incident operations depends largely upon specific State authority or jurisdiction.
- Other factors that may be prevalent include:
 - A State department or agency, local, or tribal jurisdiction needs or requests external support.
 - The economic ability of the affected entity to ever recover from the incident.
 - The type or location of the incident (extended nuclear/radiological contamination).
 - The severity and magnitude of the incident.
 - The need to protect the public health, welfare, or the environment.

Planning Assumptions – Continued

- State departments and agencies support the mission in accordance with state and national authorities and guidance and are expected to provide:
 - Initial and/or ongoing response, when warranted, under their own authorities and funding;
 - Alert, notification, pre-positioning, and timely delivery of resources to enable the management of potential and actual State-declared disasters; and
 - Proactive support for catastrophic or potentially catastrophic incidents using protocols for expedited delivery of resources.
- For incidents that are Presidential-declared disasters or emergencies, Federal support to the State is delivered in accordance with relevant provisions of the Stafford Act (see Appendix - AR, Authorities and References).
- Under provisions of the Stafford Act and applicable regulations:
 - The Governor may request the President to declare a major disaster or emergency if the Governor finds that effective response to the event is beyond the combined response capabilities of the State and affected county governments or upon request from a tribal nation. Based on the findings of a joint Federal-State-local preliminary damage assessment (PDA) indicating the damages are of sufficient severity and magnitude to warrant assistance under the act, the President may grant a major disaster or emergency declaration. Note: In a particularly fast-moving or clearly devastating disaster, the PDA process may be deferred until after the declaration.
 - If the President determines that an emergency exists where the primary responsibility for response rests with the Government of the United States, or because the emergency involves an area or facility for which the Federal Government exercises exclusive or preeminent primary responsibility and authority, the President may unilaterally direct the provision of assistance under the act and will, if practicable, consult with the Governor of the impacted State.
 - United States Department of Homeland Security (USDHS) can use limited pre-declaration authorities to move initial response resources (critical goods typically needed in the immediate aftermath of a disaster such as food, water, emergency generators, etc.) closer to a potentially affected area.
- State response and recovery assistance takes many forms - including the direct provision of emergency life saving goods and services, infrastructure damage restoration and technical assistance to political subdivisions of the state through the Governor's Emergency Fund and/or government agencies; donations and volunteer goods and services to impacted individuals through the Arizona Voluntary Organizations Active in Disaster (AZVOAD) system.
- Federal assistance may also include the direct provision of goods and services, financial assistance (through insurance, grants, loans, and direct payments), and technical assistance.
- In a major disaster or emergency as defined in the Stafford Act, the President "*may direct any Federal agency, with or without reimbursement, to utilize its authorities and the resources granted to it under Federal law (including personnel, equipment, supplies, facilities, and managerial, technical, and advisory services) in support of State and local assistance efforts...*" [Sections 402.. (a) (1) and S02(a) (1) of the Stafford Act, 42 U.S.C. § S170a(1) and § S192(a)(1)].

Concept of Operations

This section describes the normal State coordinating structures, processes, and protocols employed in responding to incidents requiring State assistance.

State response under the SERRP will be based on situational needs to provide resources and recovery activities utilizing ESFs, Incident Annexes and/or Appendices as dictated by the incident. Nothing in the SERRP alters or impedes the ability of first responders to carry out their specific authorities or perform assigned responsibilities.

As with the National Response Framework (NRF), the SERRP is developed upon the premise that incidents are typically handled at the lowest jurisdictional level with defined escalation processes as required.

The SERRP facilitates coordination of requested resources among local, county, tribal, State agency, Federal government, NGOs, and the private sector without impinging on any group's jurisdiction or restricting the ability of those entities to do their job.

Disaster Condition

An emergency/disaster or terrorist incident:

- May overwhelm the capabilities of local, county or tribal government to provide a timely and effective response.
 - For example, the occurrence of a significant hazardous material or radiological incident in a high-risk, high population area may cause casualties, property loss, disruption of normal life support systems, and impact the regional economic, physical and social infrastructures.
- Has the potential to cause substantial health and medical problems, with the possibility of hundreds of deaths or injuries, depending on factors such as:
 - Time of occurrence,
 - Severity of impact,
 - Existing weather conditions,
 - Area demographics, and
 - The nature of local building construction.

Deaths and injuries could occur from the collapse of manmade structures and collateral events, such as fires and mudslides.

An emergency/disaster or terrorist incident may cause significant damage to the economic and physical infrastructure. *All disaster response organizations within the state operate under an Incident Command System (ICS) that is based in the principles of the National Incident Management System (NIMS). State agency resources dispatched to an incident will be prepared to assume an appropriate role within the local government's ICS.*

- An earthquake may trigger fires, floods or other events that will multiply property losses and hinder the immediate response effort.
- A catastrophic dam failure may significantly damage or destroy highway, airport, railway, communications, water, waste disposal, electrical power, natural gas and petroleum transmission systems.
- Police, fire, public health and medical, emergency management, and other personnel are responsible for incident management at the local, county or tribal level.

Concept of Operations – Continued

Disaster Condition - Continued

In some instances, a State or Federal agency in the local area may act as a first responder and may provide direction or assistance consistent with its specific statutory authorities and responsibilities.

In the vast majority of incidents, local resources and intrastate mutual aid normally provide the first line of emergency response and incident management support. The Governor may activate the Catastrophic Incident Annex according to the criteria established in the SERRP when an incident or potential incident is of such severity, magnitude, and/or complexity that it:

- Occurs instantaneously or with little warning.
- Immediately or rapidly overwhelms the State's ability to mount and sustain an emergency response.
- Creates significant disruption of State government.

State agencies, when directed by the Governor, will take actions to mobilize and deploy resources to assist in life, safety and property protection efforts as prescribed and coordinated under the Catastrophic Incident Annex.

- State departments/agencies have been grouped together under the ESFs and/or Incident Annex to facilitate the provision of response assistance. If state response assistance is required under this plan, it will be provided using some or all of the ESFs as necessary.
 - Agency missions, organizational structures, response actions and primary and support agency responsibilities are described in the ESFs.
- The coordinating structures and processes utilized in the SERRP are designed to:
 - Enable execution of the responsibilities of the Governor through the appropriate State departments and agencies.
 - Integrate Federal, State, county, tribal, NGO, and private-sector efforts into a comprehensive statewide approach to management of an incident of significant proportions.
- Each ESF may be assigned a number of missions. The designated primary agencies are responsible for managing the activities of the ESF and ensuring that mission(s) are accomplished. Primary agencies have the authority to execute response operations.
- **Primary agencies will:**
 - Coordinate directly with their agency for guidance to provide assistance and make operational decisions.
 - Designate agency staff members to collaborate with ESF agencies to provide assistance.
 - Use the ESF Annexes and appropriate Appendices of the SERRP as a basis for updating Standard Operating Procedures (SOP) to accomplish ESF mission(s).
- **Support agencies will:**
 - Assist the primary agencies in the process of exercising, reviewing, maintaining and implementing this plan, ESFs and Standard Operating Procedures.
 - Provide representatives to the SEOC that can be responsible for coordination with the primary agencies and make operational decisions.

Concept of Operations – Continued

Disaster Condition - Continued

Requests for assistance will be channeled from city/town government through county (CEOC) or tribal government to the SEOC.

- Based on local government's explicit and fully identified requirements, appropriate State response assistance will be provided.
- Conference calls will be made between tribal, local, county, state, and federal agencies to discuss the status of the incident.

A State Coordinating Officer (SCO), usually the ADEM Director, DEMA, is appointed by the Governor to coordinate state activities.

Typical SCO functions include but are not limited to:

- Working with the impacted county(s) emergency management director to identify all response and recovery requirements.
- Coordinating public information, legislative liaison, community/tribal liaison, outreach, and donation activities.
- Providing data for reporting purposes.
- Directing the SEOC response activities and supporting field operations.

Disaster Declaration Process

The provisions of this plan are applicable to all emergencies/disasters that require a proclamation of a State of Emergency by the Governor or in his/her absence, the State Emergency Council. (See page BP-35 for additional State Emergency Council information). State, county and local emergency/disaster activities and requests for disaster assistance will be made in accordance with the following procedures:

Town/City Government

Emergency response agencies from town/city government will respond to an emergency/disaster within their corporate limits, coordinate activities in accordance with their standard operating procedures (SOP), emergency operations plan (EOP) and Mutual Aid Agreements/Memorandums of Understanding.

- In the event any emergency/disaster situation becomes beyond the scope of control of effective response for the impacted local jurisdiction resources and active MAAs, the mayor, or town/city council of an incorporated city/town may proclaim a Local Emergency.

Concept of Operations – Continued

Disaster Declaration Process - continued

- Upon declaration of Local Emergency, the mayor will govern by proclamation and has the authority (as per A.R.S. § 26-311 to impose all necessary regulations to preserve the peace and order of the town/city, including but not limited to:
 - Imposing curfews in all or portions of the town/city;
 - Ordering the closure of any business;
 - Closing to public access any public building, street or other public area;
 - Calling upon regular and/or auxiliary law enforcement agencies and organizations;
 - ◆ Providing/requesting mutual aid to/from other political subdivisions; and
 - ◆ Obtaining commitments of local resources in accordance with emergency plans.
 - The Local Emergency proclamation should be forwarded to the county emergency services/management director in an expedient manner, i.e., voice followed by hard copy.

Indian Nations/Tribes

Indian nations/tribes located within the state are recognized as sovereign nations. The residents of these Indian nations/tribes are also citizens of the state and county within which they reside. An emergency/disaster may occur for which the members of the Nation/Tribe cannot provide satisfactory resolution.

County/State/Federal involvement for resolution of the situation requires that the Indian Nation/Tribe assume the same configuration as an incorporated community within a county.

- The Indian Nation/Tribe will issue a Local Emergency resolution to the associated county/counties for resolution of their problem. If the county cannot resolve the problem, the following procedures will be followed.

County Government

Upon receipt of the proclamation of a Local Emergency from an incorporated town/city or tribal request for support, the chairman of the board of supervisors or designee will:

- Provide available assistance requested to contain the incident (i.e., sheriff, public works, health, etc.);
- Notify the SEOC that a situation exists which may require the proclamation of a county Local Emergency.
- In the event a situation exists in the unincorporated portions of the county which may affect lives and property, the county will take necessary measures to bring the situation under control utilizing all county government resources.
- If the situation in either incorporated or unincorporated portions of the county is beyond the capability and resources of the county to control, the chairman of the board of supervisors or the board of supervisors may proclaim a Local Emergency to exist in accordance with A.R.S. § 26-311.
- The Local Emergency resolution and an Application for State Assistance will be forwarded to the Director, ADEM.

Concept of Operations – Continued

Disaster Declaration Process - Continued

State Government

- The officials of the affected political subdivision should forward a Local Emergency resolution and an Application for State Assistance to the ADEM Director, DEMA.
- The Director, ADEM, will advise the Governor of the situation and the Governor may proclaim a State of Emergency and execute all or portions of this plan.
- The Governor may declare an Emergency in the absence of a county/local request.
- A State of Emergency may be proclaimed by the Governor when disaster conditions exist and appear likely to overwhelm county governments (A.R.S. § 26-303, Paragraph 11).
- Upon execution of the SERRP, the ADEM Director will initiate state response by activating the SEOC and notifying the appropriate agencies assigned to the activated ESFs and Incident Annexes of the SERRP. These agencies will take appropriate actions in accordance with the SERRP and any respective agency Guidelines or Standard Operating Procedures (SOPs).
- In the event that the Governor is absent or inaccessible, the State Emergency Council (*See page BP-35*) may issue a State of Emergency proclamation (as per A.R.S. § 26-304). This action will be taken at a meeting of the council called by the ADEM Director or designee, and if not less than three council members, at least one of whom is an elected official, approves the action.
- Request for National Guard assistance will be forwarded to the ADEM Director via SEOC Operations Chief. The Director will evaluate the request and make appropriate recommendations to the Governor, or if the National Guard has been activated, relay the request to DEMA Military Affairs Division SEOC Liaison.
- Specific liabilities and expenses may be incurred to meet contingencies and emergencies arising from incidents relating to hazardous materials and search and rescue operations without the proclamation of a State of Emergency by the Governor.

Federal Government

The U.S. Department of Homeland Security National Operations Center (NOC) monitors developing or actual emergency/disaster occurrences. Before, during and after a disaster, the FEMA Regional Director is in close contact with the Governor's office and DEMA, as well as with federal agencies having disaster assistance responsibilities and capabilities. When federal aid is needed, the Governor or ADEM Director will contact the FEMA Regional Director for advice and assistance.

Concept of Operations – Continued

Disaster Declaration Process - Continued

Prior to requesting the President of the United States to declare a Major Disaster or Emergency, DEMA officials, in coordination with other state and local officials, and in accordance with PL 93-288, will:

- Survey the affected areas, jointly with FEMA staff if possible, to determine the extent of private and public damage;
- Estimate the types and extent of federal disaster assistance required;
- Consult with the FEMA Regional Director on eligibility for federal disaster assistance; and
- Advise the FEMA Regional Director if the Governor requests or intends to request a declaration by the President.

The Governor's "Request for Presidential Declaration must:

- Furnish information on the extent and nature of state resources that have been or will be used to alleviate the conditions of the disaster.
- Contain a certification by the Governor that state and local governments will assume all applicable non-federal cost share required by the Stafford Act.
- Include an estimate of the types and amounts of supplementary federal assistance required.
- As a prerequisite to a Governor's request for a Major Disaster or an Emergency Declaration, the Governor must take appropriate action under state laws and direct the activation of this plan. Only the Governor or Acting Governor can originate the request for a Presidential Declaration. The Governor's request for a Major Disaster declaration must be based upon a finding that the situation is of such severity and magnitude that effective response is beyond the capabilities of the state and the affected local governments and that federal assistance is necessary.

The completed request, addressed to the President, is sent to the FEMA Regional Director. The Regional Director evaluates the damage and the request for federal assistance and makes a recommendation to the DHS, Under Secretary – Federal Emergency Management Directorate, who in turn, recommends a course of action to the President.

For events that do not qualify under the definition of a Major Disaster, the Governor may request an Emergency declaration to:

- Provide assistance to save lives, protect property, public health and safety, or
- Lessen or avert the threat of a catastrophe.

The procedures for requesting and declaring a State Emergency are similar to those for Major Disaster declarations. The Governor's request should contain specific information:

- Describe State and local efforts and resources used to alleviate the situation; and
- A description of the type and extent of federal aid required.

Concept of Operations – Continued

Disaster Declaration Process - Continued

Examples of emergency assistance are temporary housing, mass care (food, water, and medical care), debris removal and emergency repairs to keep essential facilities operating.

If a request for a declaration or approval of certain kinds of assistance or designation of certain affected areas is denied, the Governor has the right to appeal.

The President of the United States or the U.S. Secretary of Homeland Security may declare an emergency in the absence of a Governor's request when the emergency involves a subject area for which the federal government exercises exclusive or preeminent responsibility and authority. In such a case, although the identification of need may come from a local government or other source, the recommendation must be initiated by the FEMA Regional Director or transmitted through him/her by another federal agency. The Governor or designate will be sought for consultation.

State Agency-to-State Agency Support

For some incidents for which a Presidential Declaration is not made and a State entity is responding to an incident under its own authorities, that entity may require additional assistance from other State departments or agencies that is not otherwise readily available to them. In such circumstances, the affected State department may request SEOC coordination to obtain that assistance.

The SEOC will use the ESFs as the mechanism for coordinating required support from other agencies. When such SEOC assistance is provided; the incident becomes a state-declared emergency/disaster, and the SEOC will coordinate State resource requests under the authority provided in A.R.S. § 26-303. In these situations, the SEOC designates a State Response Coordinator (SRC) to perform the resource coordination function (rather than a State Coordinating Officer (SCO) as occurs under a response to an overwhelmed political subdivision or tribal jurisdiction during a statewide or Presidential-declared emergency/disaster.

Organizational Structure

In accordance with NIMS processes, resource and policy issues are addressed at the lowest organizational level practicable. If the issues cannot be resolved at that level, they are forwarded up to the next level for resolution. Reflecting the NIMS construct, the SERRP includes the following command and coordination structures:

- Incident Command Post (ICP) on-scene using the Incident Command System (ICS)
- Area Command / Unified Command; (if needed);
- State, county Multi-Agency Coordination (MAC) centers
- Local, tribal, and private-sector Emergency Operations Centers (EOC);

Concept of Operations – Continued

Organizational Structure - Continued

For Presidential-declared disasters/emergencies (Stafford Act):

- Joint Field Operation (JFO), which is responsible for coordinating Federal assistance and supporting incident management activities locally;
- National Operations Center (NOC) - National Response Coordinating Center (NRCC), which supports and coordinates with the Regional Response Coordination Centers, the Federal response resources and attempts to resolve Federal resource support and/or other implementation conflicts forwarded by the JFO;
- Incident Advisory Council (IAC) a group of senior level Federal Officials that adjudicates matters that cannot be resolved by the NOC-NRCC and provides strategic advice to the Secretary of Homeland Security prior to or during an incident; and
- Domestic Readiness Group (DRG) which the White House convenes on a regular basis or by any one of its regular members to develop and coordinate implementation of preparedness and response policy and for issues that cannot be resolved at lower and provide strategic policy direction for the Federal response.

The organization to implement procedures under the SERRP is composed of State/county/local/tribal government NGO and private sector agencies. The structure is designed to be flexible to accommodate any incident response and recovery requirements regardless of size, cause, or complexity. State agencies provide support to the local agencies that are chartered to implement on-scene response operations.

The SEOC is the primary hub for State incident management operational coordination and situational awareness in statewide disasters or emergencies. The SEOC upon activation and incident driven may maintain a sustained 24/7 interagency coordination operation; fusing public safety, incident intelligence, emergency response, public information, public health & medical, mass care and private-sector reporting. The SEOC also facilitates emergency management information-sharing and operational coordination with other county, tribal, Federal, and nongovernmental EOCs.

SEOC roles and responsibilities include:

- Establishing and maintaining real-time communications links with county and departmental EOCs at the State level, as well as appropriate tribal, local, Federal and nongovernmental EOCs and relevant elements of the private-sector;
- Maintaining communications with private-sector critical infrastructure and key resources;
- Maintaining communications with county and Federal incident management officials;
- Coordinating resources pertaining to domestic incident management, and the protection against and prevention of terrorists attacks;
- Coordinating with the FBI and Arizona Counter Terrorism Information Center (ACTIC), entities for terrorism-related threat analysis and incident response, consistent with applicable Presidential Executive orders;
- Providing general domestic situational awareness, common operational picture, and support to and acting upon requests for information from the Office of the Governor and Arizona Department of Homeland Security.

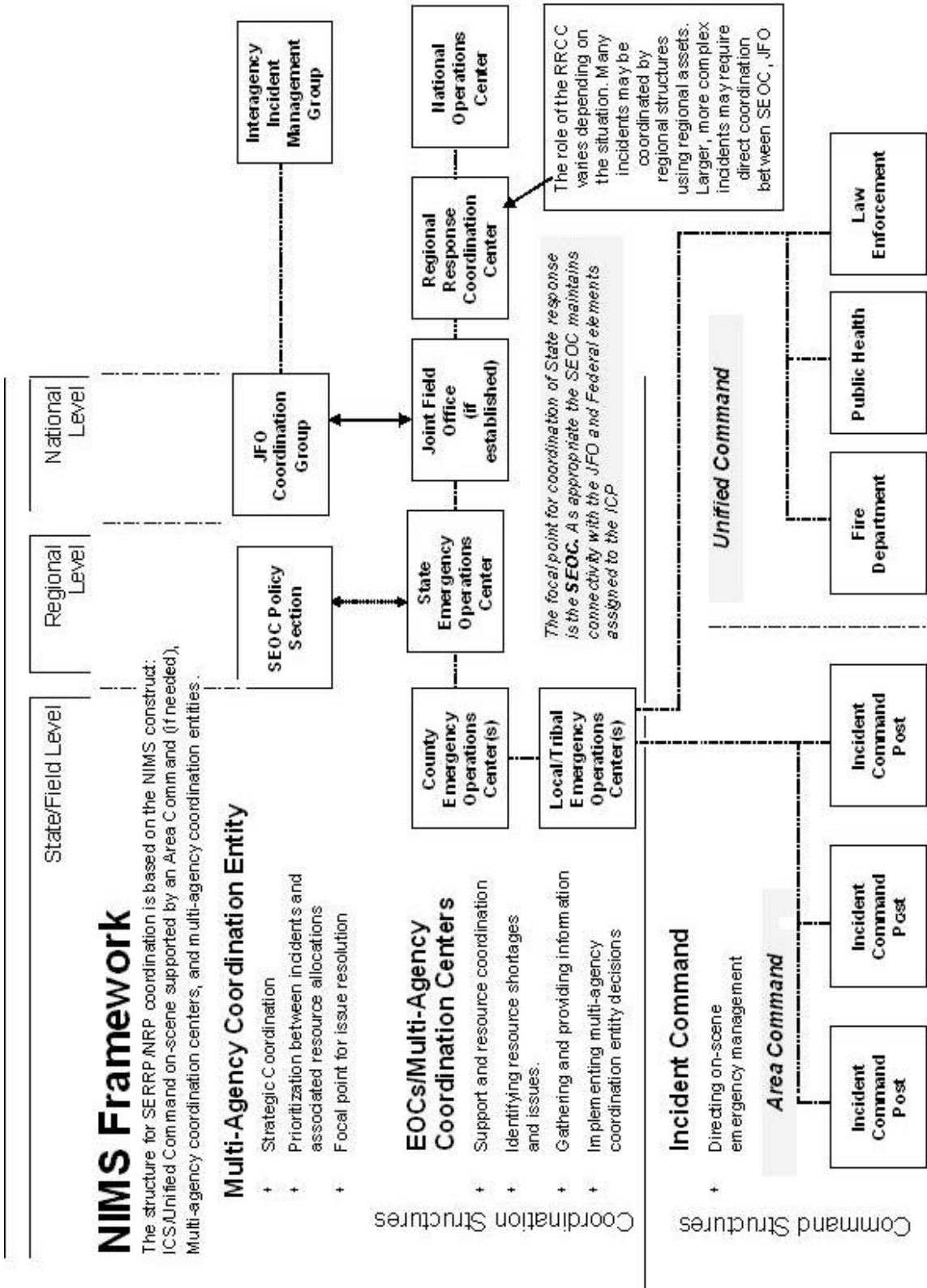
Concept of Operations – Continued

Organizational Structure - Continued

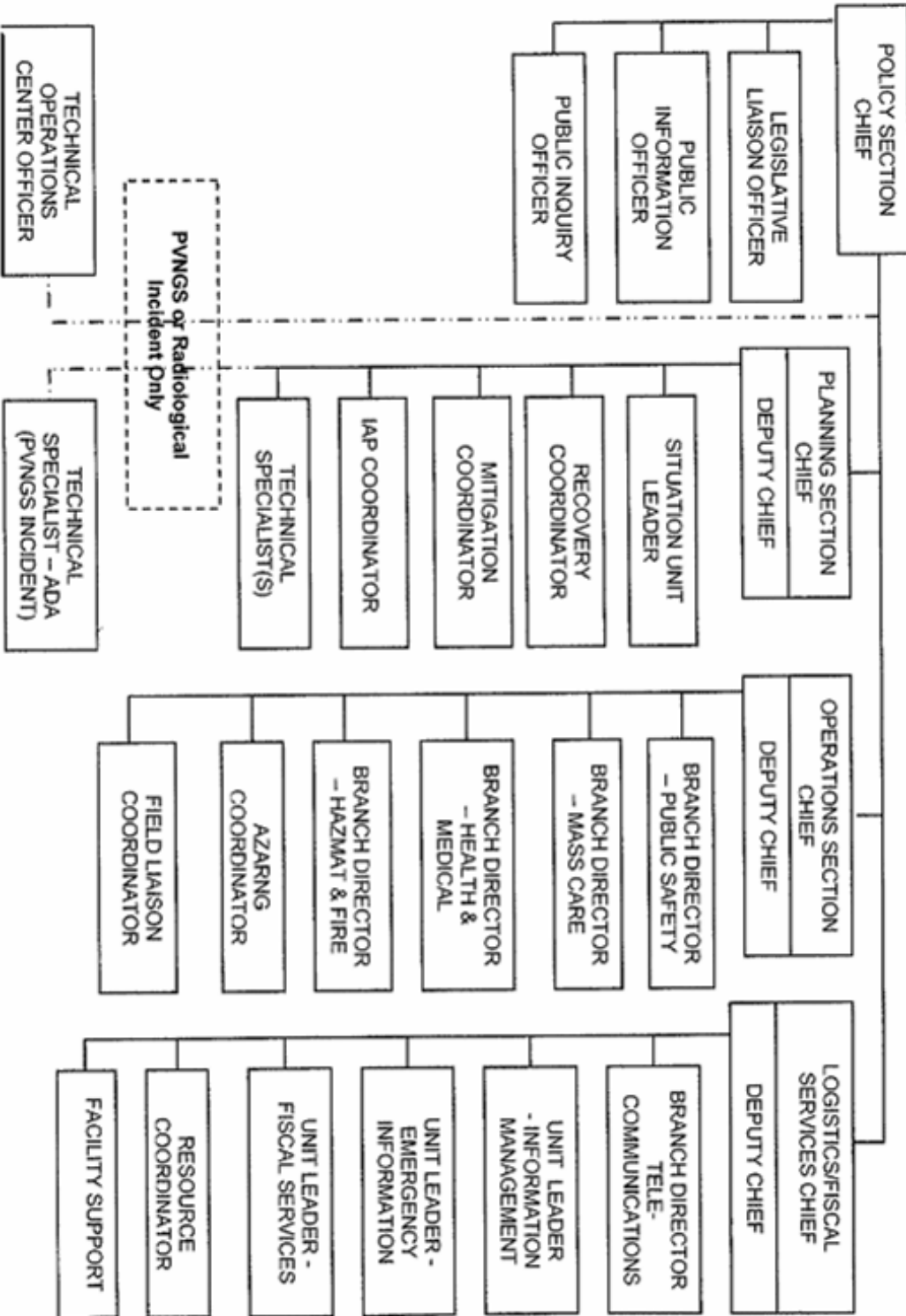
The State response structure is composed of but not limited to the following departments and agencies:

- Arizona Mexico Commission
- Arizona Historical Society
- Arizona Power Authority
- Arizona State University
- Arizona Superior Courts
- Board of Funeral Directors and Embalmers
- Commission for the Deaf and Hard of Hearing
- Commission of Indian Affairs
- Corporation Commission
- Department of Administration
- Department of Agriculture
- Department of Banking
- Department of Fire, Building, and Life Safety
 - State Fire Marshal
- Department of Commerce
- Registrar of Contractors
- Department of Corrections
- Department of Economic Security
- Department of Education
- Department of Emergency & Military Affairs
 - National Guard
 - Division of Emergency Management
 - Arizona Emergency Response Commission
- Department of Energy
- Department of Environmental Quality
- Department of Health Services
- Department of Homeland Security
- Department of Housing
- Department of Insurance
- Department of Public Safety
- Department of Real Estate
- Department of Revenue
- Department of Transportation
- Department of Water Resources
- Game and Fish Department
- Geological Survey
- Industrial Commission
- Northern Arizona University
- Office for Americans with Disabilities
- Office of the Attorney General
- Office of the Governor
- Radiation Regulatory Agency
- State Emergency Council
- State Forestry Division
- State Mine Inspector
- State Parks Department
- Structural Pest Control Commission
- University of Arizona
- Veterinary Medical Examining Board
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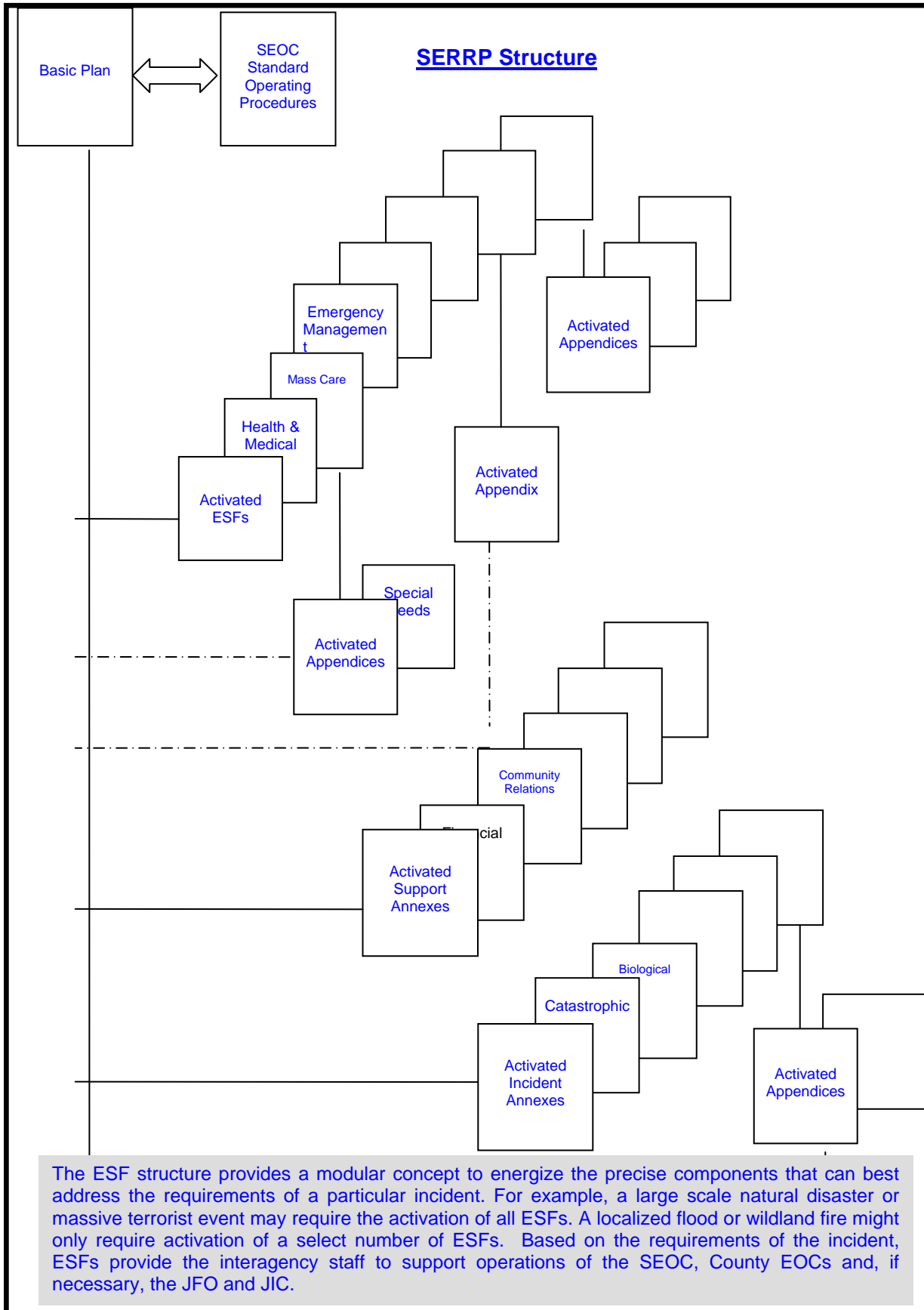
The ESF structure provides a modular concept to energize the precise components that can best address the requirements of a particular incident. For example, a large scale natural disaster or massive terrorist event may require the activation of all ESFs. A localized flood or wildland fire might only require activation of a select number of ESFs. Based on the requirements of the incident, ESFs provide the interagency staff to support operations of the SEOC, County EOCs and, if necessary, the JFO.



SEOC ORGANIZATIONAL CHART



Basic Plan



Basic Roles and Responsibilities

This section discusses the roles and responsibilities of State, county, local, tribal, private-sector, and non-governmental organizations and citizens involved in support of incident management for the State of Arizona.

State, County, Local and Tribal Governments

Police, fire, public health and medical, emergency management, public works, environmental response, and other personnel are often the first to arrive and the last to leave an incident site.

- In some instances, a State or Federal agency in the local area may act as a first responder, and the local asset of State/Federal agencies may be used to advise or assist local officials in accordance with agency authorities and procedures.
- Mutual aid agreements provide mechanisms to mobilize and employ resources from neighboring jurisdictions to support the incident command.

When county resources and capabilities are overwhelmed, the Chairperson, Board of Supervisors may request State assistance through a declaration of emergency proclamation. Consequentially, the Governor may request Federal assistance under a Presidential emergency/disaster declaration. Summarized below are the responsibilities of the Governor, County Chairperson – Board of Supervisors, and Tribal Chief Executive Officer. A.R.S. § 26-308. Powers of local government; local emergency management establishment; organization

- B. Each county and incorporated city and town of the state shall establish and provide for emergency management within its jurisdiction in accordance with state emergency plans and programs. Each unincorporated community may establish such emergency management programs.

Governor

As a State's chief executive, the Governor is responsible for the public safety and welfare of the people of the State.

The Governor:

- Is responsible for coordinating State resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents in an all-hazards context to include terrorism, natural disasters, accidents, and other contingencies;
- Maintains police powers to make, amend, and rescind orders and regulations, under A.R.S. § 26-302 and under certain emergency conditions;
- Provides leadership and plays a key role in communicating to the public and in helping people, businesses, and organizations cope with the consequences of any type of declared emergency within State jurisdiction;
- Encourages participation in mutual aid and implements authorities for the State to enter into mutual aid agreements with other States, tribes, and territories to facilitate resource-sharing;
- Is the Commander-in-Chief of the Arizona National Guard when in State Active Duty; and
- Requests Federal assistance when it becomes clear that State or tribal capabilities to respond to or recover from will be insufficient or are exhausted.

Basic Roles and Responsibilities – Continued

State, County, Local and Tribal Governments - Continued

Each county within the state will produce and maintain an Emergency Operations Plan (EOP) in support of the SERRP and will be based on and utilizes the Incident Command System (ICS) in conducting emergency response activities.

County Chairperson

The Chairperson – County Board of Supervisors, as the political jurisdiction's chief executive, is responsible for the public safety and welfare of the people of that county.

The County Chairperson:

- Is responsible for coordinating county resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards including terrorism, natural disasters, accidents, and other contingencies;
- Dependent upon county law, has extraordinary powers to suspend local laws and ordinances, such as to establish a curfew, direct evacuations, and, in coordination with the local health authority, to order a quarantine;
- Provides leadership and plays a key role in communicating to the public, and in helping people; businesses, and organizations cope with the consequences of any type of incident within the county or unincorporated town;
- May authorize negotiations and entrance into mutual aid agreements with other jurisdictions to facilitate resource-sharing; and
- Requests State and Federal assistance through the Governor when the jurisdiction's capabilities are insufficient or exhausted.

A.R.S. § 26- 308. Powers of local government; local emergency management establishment; organization

D. State emergency plans shall be in effect in each such political subdivision of the state. The governing body of each such political subdivision shall take such action as is necessary to carry out the provisions thereof, including the development of additional emergency plans for the political subdivision in support of the state emergency plans.

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Tribal Chief Executive Officer

The Tribal Chief Executive Officer as authorized by tribal law

- Is responsible for the public safety and welfare of the people of that tribe.
- Is responsible for coordinating tribal resources to address the full spectrum of actions to prevent, prepare for, respond to, and recover from incidents involving all hazards including terrorism, natural disasters, accidents, and other contingencies;
- Has extraordinary powers to suspend tribal laws and ordinances, such as to establish a curfew, direct evacuations, and order a quarantine;
- Provides leadership and plays a key role in communicating to the tribal nation, and in helping people, businesses, and organizations cope with the consequences of any type of domestic incident within the jurisdiction;

Basic Roles and Responsibilities – Continued

State, County, Local and Tribal Governments - Continued

- Negotiates and enters into mutual aid agreements with other tribes/jurisdictions and neighboring political subdivisions (counties) to facilitate resource-sharing;
- May request State and Federal assistance through the Governor, when the tribe's capabilities are insufficient or exhausted; and
- May elect to deal directly with the Federal Government.
- Federal agencies can work directly with the tribe within existing authorities and resources. (Although a State Governor must request a Presidential disaster declaration on behalf of a tribe under the Stafford Act).

State Agencies

State Emergency Council (SEC)

The State Emergency Council (SEC) was established under A.R.S. § 26-304 in 1971 and has a variety of duties related to State emergencies. **A.R.S. § 26-304. State emergency council; membership; powers and duties; definition**

B. The powers and duties of the council include:

- 3. Making recommendations for orders, rules, policies and procedures to the governor.*
- 4. Recommending to the governor the assignment of any responsibility, service or activity to a state agency relative to emergencies or planning for emergencies.*
- 5. Issuing, in the event of inaccessibility of the governor, a state of emergency proclamation under the same conditions by which the governor could issue such a proclamation, if the action is taken at a meeting of the council called by the director and if not less than three council members, one of whom is an elected official, approve the action.*

The SEC is composed of the following members or designees:

- The Governor
- Secretary of State
- Attorney General
- Adjutant General
- Director, Division of Emergency Management
- Directors of the following Departments:
 - Administration
 - Agriculture
 - Environmental Quality
 - Health Services
 - Public Safety
 - Transportation
 - Water Resources
- President of the Senate and Speaker of the House, as non-voting members.

Basic Roles and Responsibilities – Continued

State Agencies - Continued

The SEC does not have the authority to promulgate rules. However it does have the authority to make recommendations to the Governor on rules, policies, or procedures and will:

- Monitor each State-declared Emergency;
- Inform the Governor when a disaster is substantially mitigated;
- Approve and monitor the use of the Governor's Emergency Fund;
- Issue a State of Emergency in the absence or unavailability of the Governor; and
- Perform duties in accordance with A.R.S. § 26-304.

Division of Emergency Management

- Coordinate the cooperative effort of all governmental agencies, including:
 - The federal government;
 - State departments and agencies;
 - Political subdivisions;
 - Mutual aid and emergency compact partners; and
 - Non-governmental organizations.
- Provide the necessary coordination of state personnel and equipment to alleviate suffering and loss resulting from a disaster (A.R.S. § 26-305).
- Work with the Federal Coordinating Officer (FCO), during Presidential-declared disasters
- Function as the principal point of contact regarding state/ local activities, implementation of this plan, state compliance with the federal-state agreement and disaster assistance following a Presidential Declaration of Emergency or Major Disaster.

All state agencies tasked herein will:

- Appoint an emergency coordinator and an alternate to act and make decisions on behalf of the agency during emergencies/disasters.
- Develop and maintain Incident Operations Plans (IOPs) for accomplishing Primary and/or Support Agency responsibilities assigned in the SERRP ESFs and Annexes.
- Develop cooperative agreements and relationships with private organizations and associations that possess resources or capabilities for assistance.
- Establish and maintain liaison with federal counterparts to ensure currency of their procedures and available resources.
- Assign and train personnel to meet agency State response and recovery responsibilities prior to emergencies/disasters.
- Conduct exercises/drills of IOPs and participate in statewide exercises/ drills conducted by DEMA.

Basic Roles and Responsibilities – Continued

Non-governmental Organizations

Arizona has a number of voluntary organizations that provide assistance in responding to emergencies/disasters and that utilize the ICS structure. The American Red Cross (ARC) and The Salvation Army (TSA) will assume lead agency roles in most voluntary efforts associated with mass care, sheltering and donations management during incidents of statewide significance.

- A large number of voluntary organizations, including the ARC and TSA, have aligned themselves with the Voluntary Organizations Active in Disaster (VOAD Group). The Arizona VOAD Group is identified as AZVOAD.
- Although each voluntary organization is a stand-alone group, they readily communicate with each other, exchange ideas, supplies, equipment and volunteers. AZVOAD is not a controlling group and membership is completely voluntary by the organizations.

Federal Government

Secretary of the Department of Homeland Security

Pursuant to HSPD 5, the Secretary of Homeland Security is responsible for coordinating Federal operations within the United States to prepare for, respond to, and recover from terrorist attacks, major disasters, and other emergencies. HSPD 5 further designates the Secretary of Homeland Security as the "Principal Federal Official" for domestic incident management.

In this role, the Secretary is also responsible for coordinating Federal resources utilized in response to or recovery from terrorist attacks, major disasters, or other emergencies if and when any of the following four conditions applies:

- A Federal department or agency acting under its own authority has requested Department of Homeland Security assistance;
- The resources of State and local authorities are over-whelmed and Federal assistance has been requested;
- More than one Federal department or agency has become substantially involved in responding to the incident; or
- The Secretary has been directed to assume incident management responsibilities by the President.

Department of Justice

The Attorney General is the chief law enforcement officer in the United States.

In accordance with HSPD-5 and other relevant statutes and directives, the Attorney General has lead responsibility for:

- Criminal investigations of terrorist acts or terrorist threats by individuals or groups inside the United States, or
- Directed at U.S. citizens or institutions abroad, where such acts are within the Federal criminal jurisdiction of the United States,
- Related intelligence-collection activities within the United States, subject to applicable laws, Executive orders, directives, and procedures.

Basic Roles and Responsibilities – Continued

Federal Government - Continued

Department of Defense

The Secretary of Defense:

- Authorizes Defense Support of Civil Authorities (DSCA) for domestic incidents as directed by the President or when consistent with military readiness operations and appropriate under the circumstances and the law.
- Retains command of military forces under DSCA, as with all other situations and operations.

Concepts of "command" and "unity of command" have distinct legal and cultural meanings for military forces and operations. For military forces, command runs from the President to the Secretary of Defense to the Commander of the combatant command to the commander of the forces. The "Unified Command" concept utilized by civil authorities is distinct from the military chain of command.

Department of State

The Secretary of State has international coordination responsibilities for coordinating international prevention, preparedness, response, and recovery activities relating to domestic incidents along continental U.S. borders, and for the protection of U.S. citizens and U.S. interests overseas.

Other Federal Agencies

During a Presidential-declared disaster, other Federal departments or agencies may play primary, coordinating, and/or support roles based on their authorities and resources and the nature of the incident.

- In situations where a Federal agency has jurisdictional authority and responsibility for directing or managing a major aspect of the response, that agency is part of the national leadership for the incident and participates as a Senior Federal Official (SFO) or Senior Federal Law Enforcement Official (SFLEO) in the Joint Field Office (JFO).
- Some Federal agencies with jurisdictional authority and responsibility may also participate in the Unified Command at the Incident Command Post (ICP).
- Federal departments and agencies participate in the ESF structure as coordinators, primary agencies, and/or support agencies and/or as required to support incident management activities.

Several Federal agencies have independent authorities to declare disasters or emergencies. These authorities may be exercised concurrently with or become part of a major disaster or emergency declared under the Stafford Act. Some examples of agencies exercising independent authorities can be found in the National Response Framework (NRF).

Basic Plan

Plan Administration

Administration of state and federal disaster assistance will be in accordance with the rules, policies, and procedures outlined on page BP-11 this document.

During active disasters, participating State agencies will submit daily Situation Reports (SITREP) to the Policy Section Chief.

- Each SITREP should
 - Contain pertinent information regarding agency response/recovery operations.
 - Be addressed to the Policy Section Chief, through the Planning Section Chief.
- A SITREP for the previous day may be faxed to the SEOC Planning Section to arrive by 1200 hours of the subsequent day.

Following the conclusion of a State of Emergency proclamation by the Governor, state agencies will submit an After-Action Report (AAR) to the ADEM Director.

AAR reports from participating agencies will be used to evaluate and improve existing plans and procedures.

Training and Exercises

DEMA will provide training, advisory and technical assistance to State/county/local/private/voluntary agencies.

DEMA will coordinate and conduct periodic exercises of this plan in order to ensure that effective and complete planning efforts associated with preventive, preparedness, response to, and recover from emergency and/or terrorism incidents, and compliance with national emergency response (NIMS/NRF) standards are maintained.

Training and exercises will be consistent with U.S. Department of Homeland Security and the Office of Domestic Preparedness guidelines and will include ICS training and use in exercises. **A.R.S. § 26-305. Division of emergency management; duties; director; term; qualifications; compensation; emergency management training fund**

- G. The emergency management training fund is established consisting of monies received from fees collected by the division for coordinating symposiums, training conferences and seminars relating to its powers and duties. The director of the division shall deposit all fees collected for these activities in the fund which shall be used only for expenses of the activities. All monies collected from each event that are in excess of the expenses of the event shall revert to the state general fund by the end of the fiscal year*

Plan Development and Maintenance

DEMA, in coordination with other state departments and agencies, will review this plan annually and revise/update as needed.

Each state department/agency, county and local government will review and update their respective EOPs in accordance with this and all future promulgated SERRP releases.

Basic Plan

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